

State of California	Performance Evaluation First-Level Supervisor <div>Sample</div>	DATE OF REPORT:	DATE SUBMITTED:
NAME (Last, First, Middle Initial):			
CLASSIFICATION TITLE:		POSITION NO:	
AGENCY/ DEPARTMENT/UNIT (Name and Location):			
<div>PERIOD OF REPORT</div> <div>From:<div>To:</div></div>		<div>DATE OF LAST PERFORMANCE EVALUATION:</div>	<div>OCCASION FOR REPORT: (Check only one)</div> <div><div><input type="radio"/> Annual</div><div><input type="radio"/> Other</div></div>
Job Description:			
RECOGNITION/ACCOMPLISHMENTS EARNED SINCE LAST EVALUATION:			

Competency Cluster: FOSTERING A TEAM ENVIRONMENT**General Competency:****Communication**

- Gives feedback and is receptive to feedback received
- Knows that listening is essential
- Keeps others informed and ensures that feedback that is received is passed to others appropriately
- Uses a variety of methods to ensure information is conveyed
- Ensures error-free communications
- Expresses clear and concise ideas
- Organizes written ideas
- Uses graphics and other aids to clarify idea

Performance Levels**Unacceptable**

- ☐ Fails to provide feedback on performance; provides only negative feedback on performance; consistently receives feedback with negativity and disagreement; fails to speak with staff on how to improve work quality
- ☐ Fails to listen carefully to staff or drifts off when staff is speaking; fails to make oneself available to staff; often misinterprets information; fails to ask follow-up questions; needs multiple discussions to display an understanding
- ☐ Has infrequent communication with staff or team; fails to effectively communicate with staff or team; does not clearly convey a message or information to others; does not keep staff or team informed of pertinent information
- ☐ Fails to keep department leaders informed, fails to demonstrate good judgment in selecting the proper mode of communication, fails to keep staff informed of developments affecting their or the department's functions
- ☐ Fails to review team documents; creates or oversees the creation of written documents which contain multiple grammatical and punctuation errors; creates or oversees the creation of written documents which do not adhere to department specific writing styles

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Successful

- ☐ Provides and receives timely feedback on performance against stated goals
- ☐ Asks follow-up and probing questions, reads non-verbal cues, listens attentively, and provides full attention and necessary time for discussion
- ☐ Has frequent and ongoing communication with team members and supervisors, and ensures clear communication with other parties where appropriate
- ☐ Demonstrates commitment to information-sharing by using accessible methods, maintaining knowledge base, and meeting with leaders
- ☐ Prepares and ensures team documents are error-free, in proper English and department-specific writing style, for self and team members
- ☐ Ensures written communications are clear, concise, relevant, and accurate
- ☐ Develops documents and presentation materials that are organized, easy-to-follow, and tailored to the audience;
- ☐ Identifies and develops visual aids or graphics to support written communications

Exceptional

- ☐ Consistently offers and receives constructive feedback; welcomes all feedback; involves staff in deciding how to improve work output and quality based on feedback
- ☐ Consistently demonstrates attentive listening in all situations; easily understands complex issues; successfully validates understanding
- ☐ Is consistently thoughtful and responsive when communicating with employees at all levels; is an articulate spokesperson for the team's views; always ensures that management is aware of particularly sensitive issues or topics
- ☐ Regularly uses creative or innovative methods (i.e. new technology) to successfully facilitate two-way information sharing with team members, leaders and stakeholders
- ☐ Consistently ensures that all written documents are free of punctuation and grammatical errors
- ☐ Consistently ensures that all written communication is clear, concise, error free, and delivers the intended message
- ☐ Consistently creates documents or presents complex information in a simple format that is easy for the audience to understand

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Communication (Continued)

- ☐ Fails to ensure written communication is clear, concise and accurate; creates or oversees the creation of written communication which consistently contains errors and is not relevant or is consistently misinterpreted by the audience
- ☐ Creates or oversees the creation of documents that consistently lack organization and are misunderstood by the audience; fails to document complex information in a simple, readable, and understandable format
- ☐ Creates or oversees the creation of visual aids or graphics that consistently do not support the written communication; fails to develop visual aids or graphics to enhance the clarity and understanding of the document



- ☐ Consistently develops and makes excellent use of charts, graphs, figures and illustrations that are appropriate, meaningful, and engage the audience



Communication Comments:

Competency Cluster: FOSTERING A TEAM ENVIRONMENT**General Competency:****Conflict Management**

- Recognizes differences in opinions and misunderstandings and encourages open discussion
- Uses appropriate interpersonal styles
- Finds agreement on issues
- Deals effectively with others in antagonistic situations

Performance Levels**Unacceptable**

- ☐ Fails to listen to all sides of an issue; displays favoritism when attempting to resolve conflicts; regularly allows conflicts to escalate and/or ignores conflicts; focuses on undermining the arguments of others rather than understanding others' interests; is consistently unable to identify a common ground
- ☐ Fails to identify and address interpersonal style differences; fails to discuss appropriate communication methods with team; fails to mitigate or minimize a conflict
- ☐ Fails to recognize conflicts; fails to take appropriate action to resolve conflicts; fails to understand when a compromise is needed; consistently fails to overcome conflicts and/or reach a common agreement
- ☐ Fails to monitor behaviors after conflict resolution; fails to adjust course of action as necessary if conflict continues; fails to address or tolerates antagonistic situations

**Successful**

- ☐ Holds regular open discussions, encourages questions and works toward conflict resolution solutions
- ☐ Identifies interpersonal styles and discusses appropriate communication methods with team
- ☐ Recognizes and defines conflicts to finalize agreement and course of action
- ☐ Monitors behaviors after conflict resolution

**Exceptional**

- ☐ Consistently listens to all sides of an issue; looks for common ground; maintains neutrality
- ☐ Consistently anticipates potential interpersonal style conflicts which may arise and takes proactive steps to mitigate or minimize the situation
- ☐ Always recognizes and takes appropriate action to resolve conflict; consistently knows when to "agree to disagree", end the meeting or elevate the issue
- ☐ Consistently follows up to ensure conflict resolution; takes steps to adjust course of action as necessary if conflict persists; keeps management informed as appropriate throughout the conflict resolution process

**Conflict Management Comments:**

Competency Cluster: FOSTERING A TEAM ENVIRONMENT**General Competency:****Interpersonal Skills**

- Effectively approaches others with sensitive information
- Understands the unspoken meaning of a situation
- Understands strengths and development areas of others
- Makes others feel respected and heard

Performance Levels**Unacceptable**

- ☐ Uses an ineffective communication style or fails to adapt their communication style to the situation; fails to show respect or professionalism when dealing with others
- ☐ Consistently fails to interpret and/or understand verbal and/or nonverbal cues; consistently misreads verbal and or nonverbal cues and fails to apply lessons learned from these mistakes; fails to follow-up to ensure clear two-way communication exists
- ☐ Fails to identify or effectively address the strengths, weaknesses, and development areas of staff; fails to develop plans and tools to build the strengths of staff; fails to provide opportunities for development of staff
- ☐ Regularly fails to listen to others and/or regularly interrupts others before they are allowed to complete their thoughts; creates an environment that discourages others to express their thoughts or ideas

**Successful**

- ☐ Develops and applies appropriate communication style to situation
- ☐ Perceives non-verbal communication cues and sub-messages, and applies lessons from past experiences
- ☐ Identifies strengths and development areas in others; develops plans and tools to build strengths and close performance gaps
- ☐ Practices active listening and creates an open communication environment

**Exceptional**

- ☐ Consistently uses a communication style with others in a manner that achieves the desired results in a variety of situations while showing respect and professionalism
- ☐ Always displays the ability to effectively interpret both verbal and non-verbal cues and responds effectively to them; consistently follows up to ensure that clear two-way communication exists
- ☐ Consistently motivates staff to learn; regularly combines training and delegation to develop staff and close performance gaps
- ☐ Always allows others to complete their thoughts before replying to ensure they feel heard and are free to express their opinions

**Interpersonal Skills Comments:**

Competency Cluster: FOSTERING A TEAM ENVIRONMENT**General Competency:****Team Leadership**

- Sets team structure
- Organizes, leads, and facilitates team activities
- Promotes team cooperation
- Encourages participation

Performance Levels**Unacceptable**

- ☐ Fails to ensure that the team member's strengths effectively match their given role; is unable to identify how the team members can be utilized more effectively; does not recognize or communicate the team concept; sets team goals that are contrary to organizational goals or mission; sets unattainable goals or goals that are unrealistic for the skill sets of the team; abdicates team leadership responsibilities; frequently changes or is unclear about scope or deliverables or allows external distractions to affect the focus of the team
- ☐ Fails to share or hoards information; encourages or allows team dissension; fails to address requests for assistance or problem resolution from the team; discourages open discussion or belittles ideas or suggestions; places personal objectives ahead of team goals; fails to motivate the team members to meet team goals and objectives
Takes actions that undermine the team; allows disrespectful behavior between team members; demonstrates favoritism; takes actions that create animosity and divisiveness between team members; dictates the ground rules without gaining team input; fails to follow team ground rules; fails to recognize and reward behaviors that promote and contribute to an effective team environment

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Successful

- ☐ Establishes and communicates team roles, responsibilities, goals, and deliverables
- ☐ Facilitates internal team discussions to encourage participation and enthusiasm
- ☐ Identifies team ground rules and creates an environment of respect for team members;
- ☐ Manages team goals effectively, monitors performance, and recognizes positive individual and group performance

Exceptional

- ☐ Effectively matches team member's talents to strengths; consistently adjusts assignments as team member's skills warrant changing responsibilities; ensures understanding of team goals and objectives as they relate to larger organizational objectives; maintains team scope and deliverables and facilitates effective change management when necessary; is a team advocate, acts as a buffer from external influences and ensures that the team members can focus on their primary goals
- ☐ Empowers team to bring all ideas forward, is available to the team and provides assistance to solve team problems; fosters a creative team environment; consistently demonstrates personal commitment to team efforts and activities; uses innovative approaches to continually motivate the team to maintain enthusiasm
Consistently demonstrates the ground rules developed by the team and holds team members accountable for following the ground rules; personally serves as a role model for a respectful team environment; immediately and consistently identifies and addresses any behaviors which do not support a respectful team environment; proactively rewards behaviors that promote and contribute to an effective team environment

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Team Leadership (Continued)

☐ Fails to link team activities to team goals; fails to promote the team's accomplishments; does not encourage full participation by all team members or makes selective assignments to favored team members only; fails to keep track of team accomplishments; fails to acknowledge or personally takes credit for the team's accomplishments



☐ Consistently ties the team's activities to the team goals; clearly establishes team expectations for full participation with all team members; promotes the contributions of the team to the department; rewards and recognizes individual and team performance in a manner that recognizes individual team member preferences; demonstrates a clear understanding of team member's preferences in receiving recognition; ensures team members benefit from development opportunities as well as the team benefiting as a group



Team Leadership Comments:

Competency Cluster: CREATING ORGANIZATIONAL TRANSFORMATION**General Competency:****Vision and Strategic Thinking**

- Communicates the big picture
- Expresses vision to others
- Influences others to translate vision into action

Performance Levels**Unacceptable**

- ☐ Fails to clearly describe the organization's vision, mission, and strategic objectives to staff; fails to understand how the unit objectives and activities relate to the organization's vision, mission and strategic objective
- ☐ Fails to communicate the organization's vision and strategic direction to the work unit; fails to align unit objectives, goals, and/or activities to the organization's vision and mission
- ☐ Consistently fails to communicate the link to the organization's vision when designing and delegating assignments; creates an environment that discourages the team to create and/or contribute ideas that support the organization's vision; dismisses team's ideas that support the organization's vision

**Successful**

- ☐ Clearly describes the organization's vision, mission, strategies, and rationale
- ☐ Maintains an environment where individual and team activities contribute to vision; references vision in major communications;
- ☐ Communicates link to vision in designing and delegating assignments; encourages team to contribute ideas that support the vision

**Exceptional**

- ☐ Consistently relates unit objectives and actions to the organization's vision and mission and is able to convey this to staff; clearly understands how short and long term objectives link to the vision; successfully translates the "big picture" vision into its impact on the work unit and its programs and projects
- ☐ Consistently ensures that unit goals and objectives are aligned with the strategic vision and meet the organization's desired outcomes; effectively translates the vision into clear strategies for the work unit; successfully makes the organization's vision and mission meaningful and concrete to others
- ☐ Recognizes strategic opportunities for success; adjusts actions and decisions to focus on critical strategic issues related to the work unit; encourages team members to focus on assignments that support or address the strategic issues of the organization; rewards employees whose actions successfully support the organizational vision

**Vision and Strategic Thinking Comments:**

Competency Cluster: CREATING ORGANIZATIONAL TRANSFORMATION**General Competency:****Change Leadership**

- Develops new approaches
- Identifies better, faster or less expensive ways to do things
- Encourages others to value change

Performance Levels**Unacceptable**

- ☐ Fails to consider new ideas or recommendations; fails to identify or address inefficient areas within the unit
- ☐ Discourages the generation of new ideas, recommendations or solutions, fails to take appropriate risks to improve processes or procedures; fails to encourage others to make process improvements; fails to measure unit performance as a baseline for continuous improvement
- ☐ Fails to discuss or explain the reasons for change or speaks negatively about changes in the unit or organization; does not understand the reasons for change; is resistant to change; fails to recognize others' concerns about change

**Successful**

- ☐ Identifies inefficient areas within unit and generates new ideas and recommendations
- ☐ Encourages innovative solutions from team members; serves as a role model for change by striving for continuous improvement
- ☐ Encourages, understands, and effectively communicates the reasons for change to team members

**Exceptional**

- ☐ Proactively seeks new ideas to improve unit processes and procedures; communicates with others internally and externally to identify best practices; thinks outside the box; identifies risks and impacts of change and mitigation strategies to address them
- ☐ Coaches others in business process improvement; creates an environment where suggestions for change and appropriate risk taking are valued; creates mechanisms for evaluating the success of change and making necessary adjustments
- ☐ Promotes a culture that supports change; celebrates change; constructively manages resistance to change; ensures that the positive results of change are visible; is consistently available to listen and respond to staff's concerns about change; is sensitive to the impact of change on others

**Change Leadership Comments:**

Competency Cluster: MAXIMIZING PERFORMANCE RESULTS**General Competency:****Analytical Thinking**

- Identifies causes
- Approaches problems by breaking them down
- Weighs priorities
- Recognizes actions and underlying issues

Performance Levels**Unacceptable**

- ☐ Consistently fails to identify that a problem exists; fails to accurately identify problems or the root causes of problems; frequently fails to recognize the important issues that are contributing to the problem; fails to address the problem or the cause of the problem; fails to recommend alternative solutions to solve the problem or the cause of the problem. Consistently fails to break down tasks and problems and/or fails to delegate to staff; consistently delegates the tasks or problems to staff ineffectively without consideration of staff's ability or authority to successfully complete the assignment
- ☐ Consistently gathers and analyzes irrelevant information; consistently fails to seek/research, or make use of all available resources when gathering information; consistently prioritizes action items without the necessary relevant information; is unable to distinguish between relevant and irrelevant information when prioritizing action items
- ☐ Consistently fails to identify and address problems at the unit level; consistently allows problems or potential problems to escalate; fails to identify underlying or systemic problems; fails to recognize trends in reoccurring problems

**Successful**

- ☐ Identifies causes for problems related to processes, procedures or technical issues
- ☐ Breaks down specific or simple tasks and problems and delegates to support staff
- ☐ Systematically gathers and analyzes relevant information from a variety of sources and asks effective probing questions to prioritize action items at the unit level
- ☐ Proactively identifies and addresses key actions and underlying issues and problems at the unit level

**Exceptional**

- ☐ Consistently identifies causes for problems and recommends effective alternatives or solutions; regularly addresses the root causes and implements solutions to problems; effectively identifies problems rather than symptoms
- ☐ Consistently breaks down moderately complex tasks and problems and delegates them appropriately to staff; coaches staff in the analytic process
- ☐ Consistently distinguishes effectively between important and urgent action items at the unit level; coaches others to ensure that all relevant information necessary to prioritize assignments has been gathered
- ☐ Anticipates problems and solves them before they develop at the unit level; proactively recognizes the impact of actions on staff and considers their needs in developing solutions; identifies resources necessary to implement solutions

**Analytical Thinking Comments:**

Competency Cluster: MAXIMIZING PERFORMANCE RESULTS**General Competency:****Customer Focus**

- Works with internal and external customers to identify their expectations and shared business objectives
- Ensures the effective delivery of the products or services to the customer
- Identifies and solves customer problems quickly and effectively
- Develops and implements ways to measure, track and maintain a high level of customer satisfaction

Performance Levels**Unacceptable**

- ☐ Regularly fails to communicate with customers to identify and assess their business needs; fails to incorporate customers business needs into business processes; fails to establish and maintain positive customer relationships
- ☐ Fails to establish and maintain processes and procedures to ensure effective delivery of customer products and/or services; fails to monitor compliance with processes and procedures for the effective delivery of customer products and/or services; fails to make adjustments to process and procedures if they are ineffective; fails to address ineffective delivery of products and/or services to the customer; fails to inform customers of any factors that may negatively impact the delivery of products and/or services
- ☐ Fails to resolve routine customer problems; fails to identify constraints that may impact the delivery of customer products and/or services; fails to inform customer of constraints that may negatively impact the delivery of products and/or services; fails to identify and/or recommend alternative solutions to customer problems

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Successful

- ☐ Communicates regularly with customers to assess their business needs; may establish and maintain customer networks
- ☐ Establishes, maintains and ensures compliance with processes and procedures to ensure the effective delivery of products and services
- ☐ Resolves routine customer problems utilizing unit resources and within existing processes and procedures; identifies and informs customers of constraints and recommends alternatives or solutions
- ☐ Monitors customer satisfaction using a variety of tools such as surveys, meetings, contact logs, informal customer feedback, etc.; compares unit performance against performance standards; recommends and implements business process improvement measures to increase customer satisfaction

Exceptional

- ☐ Is able to effectively determine customer's underlying business needs beyond those initially expressed; proactively communicates with customers to establish excellent working relationships
- ☐ Establishes high quality customer service standards and monitors for high quality product and service delivery; evaluates the effectiveness of different product or service delivery methods; proactively keeps customers informed of any factors that impact delivery of products or services
- ☐ Recommends changes to processes or procedures to eliminate or minimize barriers to the delivery of high quality products or services; effectively distinguishes between the root cause of a problem and its symptoms and takes appropriate action to resolve the issue
- ☐ Effectively utilizes customer feedback (positive or negative) to improve business operations; coaches staff on how to achieve high levels of customer satisfaction; uses innovative approaches (training, tools) to regularly enhance staff's customer service skills; rewards staff for continuous high quality customer service

Customer Focus (Continued)

☐ Consistently fails to monitor customer satisfaction; consistently fails to utilize customer feedback to improve customer satisfaction; fails to communicate customer feedback to staff; fails to measure or track unit performance; fails to compare or measure unit performance against performance standards; fails to address poor unit performance or change current business processes to increase customer satisfaction; regularly recommends and implements business processes that decrease customer satisfaction



Customer Focus Comments:

Competency Cluster: MAXIMIZING PERFORMANCE RESULTS**General Competency:****Decision Making**

- Makes critical and timely decisions
- Takes charge
- Supports appropriate risk
- Makes tough and appropriate decisions

Performance Levels**Unacceptable**

- ☐ Fails to make decisions; makes ineffective decisions; does not consider the impact of decisions on the unit, program or organization; fails to gather or consider relevant information when making decisions
- ☐ Fails to keep abreast of department policies and priorities or external factors; fails to recognize the impact of department policies, priorities, or external factors on the unit, program or organization; fails to consider department policies, priorities or external factors when making a decision
- ☐ Fails to make decisions; fails to clearly convey decisions to staff; fails to allow staff to make appropriate decisions; does not encourage open discussion of ideas and input from staff in the decision making process
- ☐ Fails to address problems or issues; fails to take effective action; fails to make decisions; fails to follow up to ensure that problems have been resolved

**Successful**

- ☐ Makes decisions by gathering and prioritizing facts and information
- ☐ Keeps abreast of department policies and priorities, and of external factors that may impact department policies and priorities in order to make decisions which have minor organizational impact
- ☐ Expresses ideas and decisions in an open and confident manner
- ☐ Tackles reoccurring and/or tactical problems with ease

**Exceptional**

- ☐ Consistently makes effective decisions confidently with a clear understanding of the implications using only relevant information
- ☐ Continually seeks out knowledge of department policies, priorities, and external factors and develops a clear understanding of the impact on their own program in order to make effective decisions
- ☐ Coaches staff to express ideas and decisions in an open and confident manner; delegates appropriate decision making authority to staff
- ☐ Confidently and readily makes difficult but appropriate decisions and seeks innovative ways to mitigate reoccurring problems

**Decision Making Comments:**

General Competency:

Planning & Organizing

- Anticipates and prepares
- Considers impact and makes changes
- Logically approaches situations
- Documents project progress

Performance Levels

Unacceptable

- ☐ Consistently creates unrealistic schedules for oneself and others; fails to prioritize workloads of self and others; regularly fails to allocate the appropriate amount of resources to complete the work effectively; consistently fails to schedule the work of others; fails to inform others of schedule changes; regularly does not plan for contingencies
- ☐ Fails to gather information or input from staff when appropriate; fails to communicate changes or problems to upper management when appropriate; consistently fails to make adjustments to schedules and plans; fails to adjust priorities when appropriate
- ☐ Consistently breaks down project or program elements into unmanageable and/or unachievable tasks/activities; fails to break down project or program elements into tasks or activities; fails to create a logical plan; consistently allows irrelevant issues to interfere with work completion; is unable to distinguish between important and trivial activities
- ☐ Fails to develop a plan and/or process to review the work of staff; fails to utilize tools or technology to track and monitor the work of staff; consistently fails to meet established deadlines for completion of work; fails to communicate project progress to stakeholders



Successful

- ☐ Plans own workload and those of others, prioritizing key tasks and ensuring the appropriate allocation of time and effort to achieve the required results
- ☐ Gathers information from staff and prepares course of action for recommendations at higher levels
- ☐ Breaks down the project or program elements into manageable and achievable tasks/activities and creates a logical plan
- ☐ Develops systematic approaches for checking and reviewing work of staff



Exceptional

- ☐ Plans effectively to meet peak demands; plans ahead and anticipates problems and roadblocks to minimize surprises; uses all available resources (individuals, processes, funds and tools) to complete work efficiently.
- ☐ Successfully overcomes delays caused by others; anticipates problems and roadblocks and offers sound solutions; adjusts priorities when appropriate; knows and relies on "experts" who can address special problems
- ☐ Visualizes ways to create, enhance or improve simple to moderately complex work processes and prioritizes tasks accordingly; prevents irrelevant issues from interfering with work completion; effectively differentiates between urgent, important and not urgent action items
- ☐ Consistently assists others to organize their workload and stay on schedule; utilizes automated scheduling tools; keeps stakeholders informed of project status; effectively meets all project reporting requirements; regularly monitors progress against plans to ensure time, cost and quality expectations are being met



Planning and Organizing Comments:

Competency Cluster: MAXIMIZING PERFORMANCE RESULTS**General Competency:****Thoroughness**

- Ensures that the finished product or service is high quality
- Ensures assignment goals, objectives and completion dates are met

Performance Levels**Unacceptable**

- ☐ Fails to establish processes and procedures that ensure consistency; does not review processes or procedures in order to ensure a consistent, high quality work product; fails to review and evaluate staff's work for accuracy and completeness; establishes processes or procedures that create inconsistency; does not consistently monitor staff work for compliance with laws, rules, policies, and procedures; fails to keep abreast with changes in laws, rules, policies, and procedures
- ☐ Provides ambiguous expectations to staff; fails to provide expectations to staff; provides ambiguous assignments and due dates; fails to consistently follow up with staff to ensure assignments are completed; fails to develop or maintain an assignment tracking system; fails to monitor the progress of staff's assignments; is unavailable to staff for questions, clarification, and consultation regarding assignments

**Successful**

- ☐ Establishes processes and procedures to ensure consistency; evaluates and reviews staff's work for accuracy and completeness; monitors for compliance with laws, rules, policies and procedures
- ☐ Sets clear expectations; Provides clear assignments and due dates and follows up to ensure assignments are completed; develops and maintains an assignment tracking system; is available for questions and consultation regarding assignments
- ☐

**Exceptional**

- ☐ Proactively reviews and monitors the processes and procedures in order to continuously produce a consistent, high quality work product; encourages staff to provide input on the development of processes and procedures to ensure a high degree of accuracy and completeness; consistently provides constructive feedback to staff; holds staff accountable to comply with laws, rules, policies and procedures; keeps abreast of changes to laws, rules, policies, and procedures
- ☐ Consistently sets clear expectations on all assignments; anticipates obstacles in assignment completion and due dates, and takes appropriate effective action to mitigate obstacles; adjusts assignments and due dates when appropriate and communicates changes to stakeholders and management; consistently monitors assignment tracking system and makes necessary adjustments; proactively follows-up with staff and creates an environment fostering ongoing workload interaction with staff for consultation regarding assignments

**Thoroughness Comments:**

Competency Cluster: BUILDING TRUST AND ACCOUNTABILITY**General Competency:****Ethics and Integrity**

- Treats others with respect
- Takes responsibility
- Uses applicable professional standards and establishes procedures
- Identifies ethical dilemmas and takes action

Performance Levels**Unacceptable**

- ☐ Disregards or is unwilling to listen to staff; does not make oneself available to staff; fails to acknowledge, understand or address team members concerns or suggestions
- ☐ Fails to admit or attempts to cover up mistakes; fails to take responsibility; blames others for mistakes
- ☐ Fails to hold oneself and team accountable to professional standards and procedures when taking action and making decisions
- ☐ Acts unethically and lacks good judgment in conflict of interest situations; tolerates and/or fails to address unethical behavior from team members; fails to recognize ethical dilemmas or unethical behavior

**Successful**

- ☐ Is approachable, supportive and willing to listen; understands team member concerns
- ☐ Admits mistakes and attempts to achieve a positive outcome
- ☐ Follows and promotes professional standards, established procedures, and policies when taking action and making decisions
- ☐ Identifies ethical dilemmas and conflicts of interest; takes appropriate action

**Exceptional**

- ☐ Proactively approaches team members and solicits information (i.e. concerns, feedback, accomplishments, etc.); consistently and expeditiously responds to team members suggestions and concerns
- ☐ Consistently takes responsibility for personal and team mistakes and uses lessons learned to achieve positive results
- ☐ Consistently demonstrates a high level of professional standards and holds team to the same high level of standards when making decisions and adhering to policies and procedures
- ☐ Consistently demonstrates and promotes ethical behavior and creates an environment where unethical behavior is not tolerated; mentors others in ethical decision making

**Ethics and Integrity Comments:**

Competency Cluster: BUILDING TRUST AND ACCOUNTABILITY**General Competency:****Personal Credibility**

- Displays honesty and is forthright with people
- Takes ownership
- Follows through on commitments
- Respects concerns shared by others

Performance Levels**Unacceptable**

- ☐ Fails to make oneself available to staff; fails to promote or demonstrate honesty; tolerates or fails to address dishonesty from staff; fails to create a degree of trust with staff; fails to respect confidential information
- ☐ Fails to take responsibility or accept personal mistakes; blames others for personal mistakes; deflects the consequences of mistakes onto others
- ☐ Regularly fails to deliver agreed upon outcomes or results; fails to ensure that staff meet their commitments or achieve results
- ☐ Disregards or fails to respect the concerns of others; belittles or criticizes people if they express opinions which are not aligned with one's own thoughts or beliefs

**Successful**

- ☐ Demonstrates honesty and promotes open communication, while respecting confidential information
- ☐ Takes responsibility and accepts consequences of personal mistakes
- ☐ Strives to consistently deliver agreed-upon outcomes or results
- ☐ Values the concerns of people from all levels and does not criticize or belittle; respects concerns voiced by others

**Exceptional**

- ☐ Establishes a positive team environment that values and requires honest and open communication while respecting confidential information
- ☐ Consistently takes ownership of personal mistakes and instills the same high standards in team members
- ☐ Sets expectations for staff regarding consistently delivering or exceeding agreed-upon outcomes or results; models high-standards for consistently meeting commitments
- ☐ Establishes a safe environment that readily encourages team members to voice concerns and act on the concerns in a timely manner

**Personal Credibility Comments:**

Competency Cluster: PROMOTING A HIGH PERFORMANCE CULTURE

General Competency:

Developing Others

- Provides an environment where staff can learn from mistakes
- Encourages staff to use all available resources to complete their work activities
- Ensures that staff understand their own role and the role of their organization
- Regularly assesses staff's skills and knowledge to determine training and development needs
- Uses innovative approaches to provide a variety of learning opportunities to develop critical skills in staff

Performance Levels

Unacceptable

- ☐ Creates an environment of fear of failure; fails to encourage staff to learn from successes or failures; fails to provide constructive feedback to staff
- ☐ Fails to inform and/or supply staff with all the necessary tools and training to successfully perform their jobs; limits the resources available to staff for successfully completing their work activities; fails to identify or seek new tools or training to improve existing processes
- ☐ Fails to provide staff with an orientation to the unit and/or organization; fails to provide staff with clear expectations, roles and responsibilities; fails to inform staff how their roles and responsibilities align with the organization's vision and mission; fails to inform staff of the organization's vision and mission
- ☐ Regularly fails to evaluate staff's work in order to identify development needs and career goals; fails to address staff development needs; fails to provide feedback to staff regarding development needs; consistently fails to identify or obtain necessary resources to enhance staff's skills
- ☐ Only provides staff with assignments suited to their strengths, not to their development needs; fails to provide staff with opportunities for career growth; fails to develop critical skills in staff; fails to provide staff with learning opportunities



Successful

- ☐ Encourages staff to reflect on their successes and failures and identify lessons learned for future application
- ☐ Ensures that staff are aware of and have access to all the necessary tools and training to successfully complete their assignments; seeks new tools or training to improve existing processes
- ☐ Ensures that all employees receive an orientation to the unit and the department; provides employees with clear expectations, their roles and responsibilities and the organization's vision and mission
- ☐ Evaluates staff's work formally and informally to identify development areas and career goals; identifies resources to enhance staff's skills
- ☐ Provides staff with assignments suited to their strengths and development needs; and opportunities for career growth



Exceptional

- ☐ Consistently provides honest, constructive feedback and helpful coaching to staff; creates a safe learning environment for staff; coaches staff on how to accept criticism constructively
- ☐ Encourages staff to seek out tools or training that would assist them with their career development; creates an environment that is supportive of training and development; recommends innovative methods to provide new tools and training with limited resources
- ☐ Personally welcomes new staff to the unit to orient them to their new assignment; is available and accessible to staff; consistently explains how the unit's work supports the organization's larger strategic objectives
- ☐ Serves as a mentor to assist staff with their developmental needs; anticipates staff's training needs and identifies resources to meet them; consistently provides both formal and informal feedback to assist with staff's development
- ☐ Consistently, uses a variety of innovative techniques to enhance staff's skills on the job such as job rotations, cross-training, etc; encourages staff's involvement in special projects which will enhance job skills and expose them to new ideas



Competency Cluster: PROMOTING A HIGH PERFORMANCE CULTURE**General Competency:****Fostering Diversity**

- Fosters and values an environment in which people who are diverse can work together cooperatively and effectively in achieving organizational goals
- Maintains a work environment that is free of sexual harassment and discrimination

Performance Levels**Unacceptable**

- ☐ Fails to identify and recognize diversity within staff; fails to create an environment of cooperation among diverse staff; fails to discuss with or coach staff on methods of working together; consistently fails to coach others on the importance of respecting diversity; fails to identify and address diversity issues among staff; allows diversity issues to fester
- ☐ Fails to monitor that staff comply with sexual harassment prevention and anti-discrimination policies, laws and rules; fails to communicate and monitor that staff understand sexual harassment prevention and anti-discrimination policies, laws and rules; fails to address in a timely and effective manner sexual harassment and/or discriminatory behavior from staff; creates an environment that allows sexual harassment and discrimination; models inappropriate workplace behavior

**Successful**

- ☐ Proactively identifies diversity within staff; discusses appropriate methods for working together; coaches on the importance of respecting diversity
- ☐ Ensures that all staff understand and comply with the sexual harassment prevention and anti-discrimination policies, laws and rules; models appropriate workplace behavior; intervenes promptly if inappropriate behavior occurs

**Exceptional**

- ☐ Creates an environment that requires others to value diversity; regularly coaches others to identify and respect diversity; consistently encourages and promotes appropriate methods for working together; emphasizes the importance of respecting diversity
- ☐ Regularly ensures and monitors that staff understand and comply with the sexual harassment prevention and anti-discrimination policies, laws and rules; consistently models appropriate workplace behavior; coaches others on appropriate workplace behaviors; anticipates potential inappropriate behavior and takes action to prevent the occurrence; ensures staff is properly trained on sexual harassment and discrimination policies, laws and rules

**Fostering Diversity Comments:**

Competency Cluster: PROMOTING A HIGH PERFORMANCE CULTURE**General Competency:****Workforce Management**

- Hires and retains appropriate staff; conducts workforce and succession planning
- Provides feedback on performance
- Addresses employee problems
- Is a resource for career development

Performance Levels**Unacceptable**

- ☐ Fails to participate or engage in the recruitment, selection, and retention of staff; fails to monitor staff turnover; consistently selects the wrong staff for the job; fails to develop hiring and recruitment packages for the unit or develops low quality packages which lead to hiring low quality staff or the wrong person for the job; fails to participate in workforce and succession planning
- ☐ Consistently fails to offer informal and formal performance feedback to staff; regularly fails to offer constructive performance feedback; fails to monitor or follow up with staff on performance
- ☐ Consistently fails to monitor and identify and/or mitigate behaviors that are not aligned with organizational or team success; allows inappropriate behavior to exist and fails to address these behaviors; fails to document behaviors that are inconsistent with organizational or team success; fails to discuss inappropriate behavior with staff; fails to utilize the progressive discipline process effectively
- ☐ Consistently fails to prepare timely probation reports and/or IDPs; prepares probation reports or Individual Development Plans (IDPs) that lack substance; fails to establish training plans for staff or identify training needs of staff; consistently fails to provide staff with training and development opportunities ○

Successful

- ☐ Actively engages in the recruitment, selection, and retention of staff; develops hiring and recruitment packages for the unit; participates in workforce planning efforts
- ☐ Offers informal and formal feedback to improve performance
- ☐ Monitors, identifies, and mitigates any observable behaviors that are not consistent with organizational or team success
- ☐ Prepares timely Probation Reports and Individual Development Plans (IDPs); provides training opportunities within unit ○

Exceptional

- ☐ Proactively monitors staff turnover and immediately addresses hiring and retention issues; develops innovative methods to recruit high quality staff; develops screening criteria to identify high quality staff; mentors and develops staff; rewards and recognizes staff for successful performance; consistently participates in workforce and succession planning
- ☐ Consistently offers timely and constructive formal and informal feedback for all staff to improve performance; monitors and follows up on staff performance; uses innovative methods to assist staff in improving their performance
- ☐ Consistently monitors, mitigates, and addresses any observable behaviors that adversely impact organizational or team success; successfully resolves difficult employee performance issues using the progressive discipline process
- ☐ Coaches staff on career development and goal setting; regularly prepares timely probation reports and IDPs; assesses individual staff development needs and establishes training plans; cultivates the strengths of employees ○

Workforce Management Comments:

ADDITIONAL JOB SPECIFIC COMPETENCIES (Add One Page per Competency)

Competency Cluster: TECHNICAL COMPETENCY CLUSTER		
Technical Competency:	<u>Technical Competency</u> <ul style="list-style-type: none">• Behavioral Indicator• Behavioral Indicator	
Performance Levels		
Unacceptable	Successful	Exceptional
<div><input type="checkbox"/> Unacceptable Performance Benchmark for First Level Supervisor</div> <div><input type="checkbox"/></div>	<div><input type="checkbox"/> Successful Performance Benchmark for First Level Supervisor</div> <div><input type="checkbox"/></div>	<div><input type="checkbox"/> Exceptional Performance Benchmark for First Level Supervisor</div> <div><input type="checkbox"/></div>
Technical Competency Comments:		

OVERALL RATING (Comments Required):

RATING SCALE: Considering the performance information in this report, I rate this First-Level Supervisor:				
1 Unacceptable Performance Performance is consistently below expectations in most essential areas of responsibility, and/or fails to meet reasonable progress towards critical goals. <div style="text-align: center;">○</div>	2 Improvement Needed Performance does <i>not consistently meet expectation</i> , showing the need for improvement; requires more than average guidance. Performance is between the levels described for Successful Performance and Unacceptable Performance. <div style="text-align: center;">○</div>	3 Successful Performance Solid performance that consistently fulfills expectations and at times may exceed expectations. <div style="text-align: center;">○</div>	4 Highly Successful Performance Consistently strong level of performance; meeting and often exceeding the performance goals of the job; goals are consistently achieved, many times overcoming significant challenges. Work that is characterized by a consistently high level of accomplishment; typically independently demonstrates fully proficient knowledge, skills, abilities, and personal characteristics for the required work. Performance is between the levels described for Exceptional and Successful Performance. <div style="text-align: center;">○</div>	5 Exceptional Performance Performance <i>consistently</i> far exceeds expectations due to exceptionally high quality of work performed in all essential areas of responsibility resulting in an overall quality of work that is superior. <div style="text-align: center;">○</div>
Comments: 				
Employee Signature			Date:	
Supervisor Signature:			Date:	
Date Discussed with employee:		NOTE: Send JUST THE Training Plan to Training Office:		
Development/Action Plan attached:		NOTE: SEND CONFIDENTIAL Copy of EVALUATION AND APPROVED TRAINING PLAN to HR Office for Official Personnel File:		